

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
14846-29

In Re Application Of:

Mathews, et al.

Serial No.

TBA

Filing Date

December 5, 2003

Examiner

TBA

Group Art Unit

TBA

Invention:

Systems and Methods for Trading Financial Instruments Across Different Types of Trading Platforms

TO THE COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.


Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.


Signature

Dated: December 5, 2003

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Typed or Printed Name of Person Mailing Correspondence

cc:

INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>	Docket Number (Optional) 14846-29	Application Number 60/487.315
	Applicant(s) Mathews, et al.	
	Filing Date July 15, 2003	Group Art Unit

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1	US 5,864,827	1/26/99	WILSON			
	2	US 6,278,982	8/21/01	KORHAMMER, et al.			
	3	US 6,285,989	9/4/01	SHOHAM			
	4	US 6,304, 858	10/16/01	MOSLER, et al.			
	4a	US 6,105,005	8/5/2000	FUHRER			
	5	US 5,601,044	7/29/03	WALLMAN			
	6	US 6,041,080	6/4/02	BIGUS, et al.			
	7	US 6,332, 163	12/18/01	GOWMAN-AMUAH			
	8	US 6,236,977	5/22/01	VERBA, et al.			
	9	US 6,236,972	5/22/01	SHKEDY			
	10	US 6,233,566	5/15/01	LEVINE, et al.			
	11	US 5,257,369	10/26/93	SKEEN, et al.			

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

ATTY DOCKET NO.

14846-29

SERIAL NO.

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Mathews, et al.

FILING

July 15, 2003

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	12	US 5,297,032	3/22/94	TROJAN, et al.			
	13	US 5,557,798	9/17/96	SKEEN, et al.			
	14	US 5,710,889	1/20/98	CLARK, et al.			
	15	US 5,890,140	3/30/99	CLARK, et al.			
	16	US 5,946,667	8/31/99	TULL Jr., et al.			
	17	US 5,966,531	10/12/99	SKEEN, et al.			
	18	US 6,029,146	2/22/2000	HAWKINS, et al.			
	19	US 6,029,147	2/22/2000	HORADAN, et al.			
	20	US 6,058,378	5/2/2000	CLARK, et al.			
	21	US 6,226,623	5/1/01	SCHEIN, et al			
	22	US 6,233,566	5/15/01	LEVINE, et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	23	20020002530	1/3/02	MAY			
	24	20020004777	1/10/02	FOSTER, et al.			
	25	20020007335	1/17/02	MILLARD, et al.			
	26	20020013753	1/31/02	MARKS, et al.			
	27	20030149653	8/7/03	PENNY, et al.			
	28	20030126068	7/3/03	HAUK, et al.			
	29	20030126063	7/3/03	REUTER, et al.			
	30	20030115122	6/19/03	SLATER, et al.			
	31	20030009411	1/9/03	RAM, et al.			
	32	20020194097	12/19/2002	REITZ			
	33	20020069157	6/6/02	JORDAN			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	A	"Software releases patent-pending "URL Generator" for distribution of Web based content, applications" http://www.portalmag.com/articles/default.asp?ArticleID=4191
	B	"Electronic Trading Tools" http://www.gasco.com/customer_service/trading-platform.asp

EXAMINER	DATE CONSIDERED
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